Issue Date: **June 19, 2015**
Deadline for Question/Clarifications: **July 2, 2015 4:00pm (EDT)**
Closing Date: **August 10, 2015**
Closing Time: **4:00 p.m. (EDT) Washington, D.C.**

Notice of Funding Opportunity Number: **RFA-617-15-000008**

Activity Title: **USAID/Uganda Sanitation Program**

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified U.S. and Non-U.S. organizations to fund an activity entitled USAID/Uganda Sanitation Program. Eligibility for this award is not restricted; see Section C of this NFO for eligibility requirements.

Subject to the availability of funds, an award will be made to that responsible applicant(s) whose application(s) best meets the objectives of this funding opportunity and the selection criteria contained herein. While one or more award(s) is anticipated as a result of this notice of funding opportunity (NFO), USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this NFO, the term "Grant" is synonymous with "Cooperative Agreement;" "Grantee" is synonymous with "Recipient," and "Grant Officer" is synonymous with "Agreement Officer." Eligible organizations interested in submitting an application are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements and evaluation process.

To be eligible for award, the applicant must provide all information as required in this NFO and meet eligibility standards in Section C of this NFO. This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity. Applicants will need to have available or download Adobe program to their computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire NFO has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

The successful Applicant will be responsible for ensuring the achievement of the program objectives. Please read each section of the NFO.

Please send any questions to the point(s) of contact identified in Section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

Nancy Kleinhans
Agreement Officer

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ABBREVIATIONS AND ACRONYMS USED IN THIS NFO

AOR	Agreement Officer Representative
ASSIST	Applying Science to Strengthen and Improve Systems
BCC	Behavior Change Communication
BDS	Business Development Services
CDCS	Country Development Cooperation Strategy
CLTS	Community Led Total Sanitation
COP	Chief of Party
DHO	District Health Office
DOP	District Operational Plan
DWSD	District Water and Sanitation Department
EHD	Environmental Health Department
EMMP	Environmental Mitigation and Monitoring Plan
ENA	Essential Nutrition Actions
EWA	Essential WASH Actions
FAO	Food and Agricultural Organization
FFR	Federal Financial Reporting Form
FSM	Fecal Sludge Management
FtF	Feed the Future
GDP	Gross Domestic Produce
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GoU	Government of Uganda
HIMS	Health Information Monitoring Systems
IR	Intermediate Result
ISH	Improved Sanitation and Hygiene
JMP	Joint Monitoring Program
JWESSP	Joint Water and Environment Sector Support Program
MDG	Millennium Development Goal
MHM	Menstrual Hygiene Management
MoH	Ministry of Health
MWE	Ministry of Water and Environment
NWSC	National Water and Sewerage Corporation
OD	Open Defecation
ODF	Open Defecation Free
O&M	Operation and Maintenance
SACCO	Savings and Credit Organizations
SDG	Sustainable Development Goal
SDS	Strengthening Decentralization for Sustainability
SHC	School Health Club
SSS	IRC's Sustainable Services at Scale
SWAP	Sector Wide Approach
SO	Strategic Objective
USAID	United States Agency for International Development
USP	Uganda Sanitation Program
USF	Uganda Sanitation Fund
USG	United States Government
VHT	Village Health Team
WASH	Water, Sanitation, and Hygiene
WMA	Water Mechanics Association
WSDF	Water and Sanitation Development Facility
WSP	Water and Sanitation Program of the World Bank
WSSCC	Water Supply and Sanitation Collaborative Council

SECTION A: PROGRAM DESCRIPTION

1. Introduction

USAID/Uganda anticipates awarding a 5-year Agreement for $31,460,000 to accelerate sustainable improvement in quality, access and supply of water and sanitation services, and improve hygiene behaviors in Uganda. This will be achieved by introducing a series of contemporary, integrated water and sanitation interventions at the community and household levels that will lead to three intermediate results:

1. Increased household access to sanitation and water services;
2. Key hygiene behaviors at home, school, and health facilities expanded;
3. Strengthened district water and sanitation governance.

USAID/Uganda's Uganda Sanitation Program (USP) will focus on improving access to sanitation, as defined under the WHO/UNICEF Joint Monitoring Program for Water and Sanitation (the JMP) with the objective of reducing the incidence of diarrhea and other disease related to poor sanitation while contributing to nutritional goals, in particular, and on ensuring that Water, Sanitation, and Hygiene (WASH) services are sustainable.

This new USP investment has been designed to complement the existing USAID/Uganda portfolio to achieve Development Objective 3 (DO3) of the 2011-2015 USAID/Uganda Country Development and Cooperation Strategy (CDCS) that aspires to: *improve health and nutrition status in focus areas and population groups in Uganda*. Within DO3 of the USAID/Uganda CDCS, USP will support: increasing use of improved sanitation by fostering lasting WASH behaviors (IR 3.1.1), improving WASH governance (IR 3.1.2), improving provision of essential WASH services (IR 3.1.3) and increasing financial offerings for WASH (IR 3.1.4). USP also supports the Mission's contributions to the Feed the Future Initiative by improving nutrition, especially among women and children, and the Global Health Initiative objectives related to maternal and child survival; the new Global USAID Water and Development Strategy 2013-2018 (The Water Strategy) Strategic Objective 1 (SO1) "Improve health outcomes through the provision of sustainable safe water, sanitation, and the Senator Paul Simon Water for the Poor Act (2005) which makes access to safe water and sanitation a specific policy objective of U.S. foreign assistance.

2. Background

USAID is committed to investing in WASH activities that will achieve extensive, tangible impacts on Ugandans' health, education, and nutritional conditions. Specifically, under USAID's 2013 Water and Development Strategy, USAID is designing WASH programs more strategically to intersect with country needs identified in the CDCS, existing initiatives for advancing water provision, and USAID's own comparative advantage. Considering such factors, USAID WASH programs will seek ways to maximize positive benefits and sustain the services and changes achieved. This can be accomplished through more thoughtful alignment with complementary programming (both within USAID and externally); rooting approaches with host country partner governments' development priorities and the needs and wishes of beneficiaries; and through rigorous investigation and tailoring of approaches, technologies, and sustainability analysis to the Ugandan context.

In the USP context, these intentions translate into the following tangible approaches, which the successful applicant will incorporate into their proposal:

- USP will focus on achieving sustainable, system-wide results. In the Ugandan context, this requires particular attention to developing private sector services, innovative financing arrangements, behavior change communications, capacity building and governance issues that will be critical to the success of this program.
- USP will have a primary focus on increasing access to improved sanitation in coordination with the Ministry of Health (MoH), Ministry of Water and Environment (MWE), and other partners, particularly the Uganda Sanitation Fund (USF) project.
- USP will deliberately take stock of, and collaborate with, other programs that have been able to gain success through market-based approaches including the creative use of mobilizing financing, introducing a wide range of appropriate technologies and purposefully advancing Ugandan capacity development.
- USP will enhance and help build local government capacity to fulfill advancing shared objectives in sanitation and health.
- USP will seek to work with existing structures, such as Village Health Teams and Village Health Committees where they exist, health workers and local council leaders.
- USP will support activities that have been developed through participatory decision making processes involving beneficiaries;
- USP's will leverage when possible with other USAID activities, especially those connected with Feed the Future (FtF) to increase the potential for positive nutritional impacts; and
- USP's will promote learning, cooperation, and adaptation to improve the quality of work and share lessons learned. The successful applicant will present a vision and strategy for program management that allows adaptation of program approaches based on program learning, experience, and inputs from both internal and external researchers and evaluators.

It is vital that prospective USAID partners carefully appreciate Uganda's current development environment, which has prompted the U.S. Government to conduct an in-depth policy review of its assistance program. It is evident that USAID/Uganda's current and prospective implementation partners may need to become increasingly adaptive in meeting USAID's assistance objectives. This may result in sharply limiting USAID implementing partners' engagements with governmental authorities, fostering stronger private sector and civil society relationships, and otherwise seeking effective means of working with and through Ugandan citizens and private entities to achieve developmental objectives.

3. Country Context

Uganda has a population of over 35 million people and, with an annual population growth rate of 3.2%[1], is one of Africa's fastest growing countries. As much as 51% of Ugandan's are under 18 and the annual urban population growth rate is 5%. Although barely 17% of Ugandans live in cities at present, Uganda's urban growth rate suggests a *tripling* of its urban population by 2025.[2]

[1] Uganda Bureau of Statistics 2002 – Housing and Population Census
[2] World Bank. 2013. Improving service delivery in Uganda's secondary cities. Cities alliance in action. Washington DC; World Bank. http://documents.worldbank.org/curated/en/2013/01/18203683/improving-service-delivery-ugandas-secondary-cities

With a per capita annual income of under US$170, Uganda is still one of the world's poorest countries with almost a quarter of the population living on less than $1.25 a day[3]. The economic picture is even bleaker when considering that the World Bank's Water and Sanitation Program estimates that poor sanitation costs Uganda the equivalent of $177 million a year. Total health expenditure as a percentage of GDP was 9.5% in 2011 with $21 million spent on healthcare due to poor sanitation and $147 lost due to premature death[4].

Although Uganda has made improvements in access to safe water over the last few years, access to an improved water source especially in rural areas still remains low at only 32%. Additionally, access to improved sanitation is only 34% with the country unable to meet the MDG target of halving the number of people without access to improved sanitation (see Attachment K). Water and sanitation facilities in Uganda's schools remain badly underfunded, inadequate and under-maintained, leading to many detrimental impacts on the ability of children to lift themselves out of poverty. In Uganda, sanitation coverage at schools has actually decreased over the recent years, as demonstrated by the decrease in the pupil to latrine stance (cubicle) ratio from 57:1 in 2004/05 to 69:1 in 2011/12[5]. In order to address these challenges and attain comprehensive and sustainable improvements in WASH, it is critical that a strong enabling environment is created through improvements in national and district governance, policies, planning and monitoring (See Attachment L). Improving such conditions, even if only in limited areas of Uganda, is one important expectation of this substantial water and sanitation investment.

Beyond just household level facilities, it remains clear that the Uganda sanitation sector suffers from many interrelated issues that lead to poor quality services and poor outcomes. One issue in particular is the management of fecal sludge (Fecal Sludge Management – FSM). Outside of Kampala most districts do not have access to regular, safe or affordable pit emptying services or disposal/treatment sites for fecal waste. This means that when latrines become full, because there is no way to empty them, they are often abandoned and new facilities are constructed. This is most clearly evident at many schools in Uganda where one can find multiple latrine blocks, most of which are unused as they are full. While schools often suffer disproportionately from the lack of FSM, overall there is a grossly inadequate latrine to pupil ratio. Schools also suffer from poor WASH-related education, difficult without sufficient accessible services, and no dedicated, trained capacity to ensure the maintenance of the latrines, a critical component to sustainability.

Similarly, in health facilities the lack of water, sanitation and hygiene remains a serious problem. In particular, lack of proper hand washing in health facilities is a major contributor to infections post-treatment, evidenced by the high number of neonatal deaths in Uganda. While some health facilities are still struggling with basic lack of access to water and sanitation, most are not; yet unfortunately, in practice there is extremely limited hand washing or adequate WASH behaviors. Yet hand washing with soap is one of the most cost-effective, life-saving interventions. A study in Nepal showed hand washing by birth attendants and mothers helped reduce neonatal mortality by 41 percent.[6]

Although sanitation is a high priority for most urban areas, few municipalities have done any comprehensive sanitation planning. Without dedicated institutions or planning and

[3] http://data.worldbank.org/indicator/SI.POV.DDAY
[4] http://data.worldbank.org/indicator/SH.XPD.TOTL.ZS
[5] Uganda Ministry of Water and Environment Sector Performance Review, 2012
[6] Rhee, V. et al (2009). Impact of Maternal and Birth Attendant Hand-washing on Neonatal Mortality in Southern Nepal.

implementing platforms sanitation is rapidly becoming a serious public health concern, especially regarding solid waste and fecal sludge management.

4. Sector Constraints and Opportunities

Despite the progress made by the GoU in reforming the WASH sector and improving its ability to extend sustainable coverage, serious sanitation challenges remain. Sanitation in both district urban centers and rural areas remain the most significant challenge with improvements chronically under-financed and coverage increases significantly off track to meet MDG targets. Sanitation also remains the area in the WASH sector with limited government or donor initiatives. These sector constraints provide an opportunity for meaningful USAID programming, and creating a WASH model of implementation that should become cost-effective, replicable and attract stronger GoU political support and financing.

The Recipient will be challenged as a result of new acts and policies being implemented by the Government of Uganda, effectively restricting the democratic space in which these activities will be implemented. The activity structure, management team, and interventions are expected to be flexible and responsive to this changing environment. The Recipient must have a plan for adapting and modifying engagement with the GOU and private sector actors in order to achieve expected results.

4.1 Financing for Sanitation

Despite some new funding flows emerging for sanitation, dedicated financing available for rural sanitation has been limited (see Attachment M). It is estimated that the GoU has spent 6% or less of its average annual water and sanitation budget of 200-300 billion UGX on sanitation, mostly urban, over the last 6 years which translates into only 0.17-0.34% of the national budget each year.[7] Sanitation and hygiene funding is still not attracting enough attention as evidenced by the funding reduction of the national hand washing campaign, now targeting only 30 districts out of 112[8] and the small portion of funding targeting sanitation within MWE, District Water and Sanitation grants, and the Water and Sanitation Development Facility (WSDF) (described below).

The main GoU financing mechanism to rural water and sanitation outside of Kampala and NWSC covered urban areas have been the District rural water and sanitation grants provided by the MWE. These grants are supported by the Technical Service Units at regional level. Historically, these grants of approximately 100-300 million Shillings per quarter[18] have had less than 6% of the grants allocated for sanitation and hygiene, as opposed to water, which demonstrates a need to generate demand among the Districts for additional sanitation and hygiene investment.

GoU and its Development Partners have a Sector Wide Approach (SWAp), “Joint Water and Environment Sector Support Program” (JWESSP) in place through 2017/18. The main donors and supporters include GoU, African Development Bank, Austria, Denmark, European Union, Germany, France, World Bank and the Food and Agricultural Organization (FAO). The budget allocation for the five-year period is approximately five-hundred billion

[7] Government of Uganda, Water and Environment Sector Performance Report, 2013.
[8] Uganda Ministry of Water and Environment Sector Performance Review, 2012, Uganda Bureau of Statistics (UBOS) and ICF International Inc.: Uganda Demographic and Health Survey 2011, Kampala, 2012, p. 15.

shillings and focuses on urban water and sanitation (44%) just slightly more than rural water and sanitation (41%). Other components include water for food, water resource management, and enabling environment support.[9] This G2G support is channeled through the MWE to dedicated regional units called Water and Sanitation Development Facilities (WSDF). The funds ranged between 50-800 Million Shillings per quarter for all four regions, north, west, east, and central as of the first quarter of 2014.[10] As reported by the northern region, less than 10% of funding has been targeted at sanitation and mainly directed at "demonstration latrines," usually eco-sanitation composting toilets, and public facilities in markets which have been reported to provide little or no health impact.

In 2010, the GoU introduced a special District Sanitation and Hygiene Grant, first funded in FY 2011/12 for UGX 2 billion (approx. US$800,000). These grants focused on achieving ODF through CLTS but the results have been uneven, indicating a need for better capacity to ensure that the desired results of the financing are realized. As of 2014, these grants only amount to 5.5 million UGX per quarter per district[11], or roughly $2,000 USD. Anecdotal reports obtained during field visits to several Northern districts stated that this money rarely stretches beyond fuel and per diems for a few community monitoring visits or the hosting of one district workshop per year. Augmenting financing and grant management capacity of well placed; local actors will become a key component of this USP program.

Uganda's most recent financing development has been the US$8 million Uganda Sanitation Fund (USF) that was allocated by the Water and Sanitation Supply Collaborative Council (WSSCC) to the Ministry of Health for the rural areas. The Fund focuses on mostly demand creation including CLTS and behavior change communication (BCC) following the national Improved Sanitation and Hygiene (ISH) strategy and is channeled through the District Sanitation and Hygiene Grant budget line.

Despite these varied sources of financing, only the USF Initiative, recently expanded to 30 districts, appears to be significant enough to drive progress in sanitation. There is a significant need to both invest in and generate substantially greater investment in Uganda's sanitation sub-sector to reach MDG targets or beyond, and to have universal access to comprehensive sanitation services.

4.2 Building on the Success of Demand Creation for Sanitation and Hygiene in Uganda

Closely aligned with the GoU ISH strategy, the USF project approach seeks increased promotion of demand-led approaches such as CLTS and home improvement campaigns. The USF began work in July 2011 in 15 districts of eastern Uganda[12]. As of December 2012 the USF is reporting impressive results with almost 500,000 people gaining access to improved sanitation and over 300,000 living in ODF communities.[13] Moreover, USF's impressive results are being delivered with greater cost efficiency than much of other, global sanitation programing. Cost estimates of USF implementation are approximately $5-10 per beneficiary,

[9] JWESSP Program Document, April 2013 available on website under JWESSP.
[10] Ministry of Finance, Planning and Economic Development, *Third quarter releases to central and district governments*, January – March 2014.
[11] Ministry of Finance, Planning and Economic Development, *Third quarter releases to central and district governments*, January – March 2014.
[12]http://www.wsscc.org/resources/resource-news-archive/uganda-sanitation-fund-receives-us6-million-wsscc-5-year-program
[13] http://www.wsscc.org/countries/africa/uganda/global-sanitation-fund

which represent roughly a tenth the cost of comparable USAID programs in the region. Much of the savings likely comes from leveraging of government systems and human capital, including the hundreds of health extension workers as USF used the MoH as its implementation agency, much like a Government-to-Government modality. WSSCC finance has been channeled directly to the MoF who distributes it to the districts for implementation under the conditional sanitation and hygiene grant budget line and to the MoH for national initiatives and technical assistance. Particularly through this type of funding modality, the USF has been able to not only achieve improvements in coverage at-scale in 15 districts for a relatively low cost but has built a fully government owned and managed program. Additionally, in early 2014, the WSSCC approved further scale-up of the USF from 15 to 30 districts.

Despite the USF's impressive progress to improve sanitation and hygiene behaviors at-scale, challenges, similar to those experienced in other at-scale CLTS and BCC projects, still exist. By December 2012 the project reported that only 28% of triggered communities have reached ODF.[14] This poor rate is similar to the 1,200 villages targeted under the GoU District Sanitation Grants, where only 225 (19%) were declared ODF. Poor quality CLTS triggering has been primarily associated with lack of ODF achievement and sustainability, but is not the only factor. Provided CLTS triggering is of sufficient quality, ODF achievement and sustainability are also hastened by: a) community's social capital and the involvement of leadership in driving local efforts for change, b) local availability and affordability of latrine attributes and relative technologies desired by poor and non-poor consumers, c) absence of externally provided, thoughtfully-introduced subsidies to a few households, and d) post-triggering monitoring and follow-up by external agencies together with communities.[15] Some of these contributing factors appear to be weak or entirely lacking in Uganda.

In Uganda, the primary challenges to increasing USF demand creation include well-investigated, consistent facilitation of CLTS across all communities, difficulties in sustaining post-triggering follow-up and ODF certification. As the USF has acknowledged these challenges they have begun to improve upon their approach. New initiatives can leverage this learning and apply it to significantly improve their results as well. Anecdotal experience and reports from USF implementers are already seeing improvements achieving closer to 50% of triggered communities reaching ODF status. An important opportunity exists to leverage USF's work by supporting complimentary, government and partner efforts and investments to strengthen demand creation. More significantly there is an opportunity to complement or emulate the success of the at-scale implementation of demand creation activities through the USF or similar approaches.

4.3 Complement Demand with Strong Market-based Approaches

In Uganda, there has been a progressive movement toward demand-led sanitation approaches, such as CLTS and behavior change approaches, highlighted by the GoU's ISH strategy and USF implementation. Although this approach has proven effective at mobilizing communities to end OD by constructing latrines, experience has shown that improvement is often insufficient to raise households to an improved sanitation level, or to attract broader GoU financing attention. Much of this challenge has to do with the poor availability and cost prohibitive nature of existing commercial latrine options, forcing many households to

[14] http://www.wsscc.org/countries/africa/uganda/global-sanitation-fund
[15] WSP, *Factors Associated with reaching and sustaining ODF communities: Learning from East Java*, Sept 2011.

construct a latrine themselves with only the materials they have on hand. Latrines are often poorly constructed, many consisting of just rocks, sticks, mud, etc. without consideration to aspirational or quality design. Unfortunately, this means that CLTS often has only short-term results, with many people returning to OD after their latrine fails due to weather or heavy use, or abandonment due to unsatisfied feelings about its condition.

The GoU's ISH strategy recognizes the importance—and unrealized potential—of the private sector in dramatically improving household sanitation uptake. The principal motivations for household sanitation adoption in Uganda—pride and social acceptance, comfort and convenience, safety and security—are all non-health related. These motivators could prove to be effective drivers for designing and delivering a successful, broad scale marketing approach that can help substantially increase uptake among those not motivated by more traditional, health-oriented models. Currently, little is being done to address equally important supply-side issues, particularly increasing consumer awareness of, and access to, affordable and attractive latrine technology options. There is both a need and an opportunity to facilitate linkages between sanitation supply and demand, including the development of the private sector's ability to meet demand with a considerably broader, well-researched set of promising products and services.

In fact, most households already aspire to having a quality facility that will provide sanitation with security, dignity, and hygiene. A study by the World Bank Water and Sanitation Program (WSP) from East Java Indonesia found that local availability and affordability of products and services with attributes desired by poor and non-poor consumers was a significant factor in both reaching and sustaining ODF.[16] Initiatives designed to target this market (where CLTS has already been implemented) and the large existing latent market (According to the JMP 44% of rural population still has unimproved pit or shared latrines, but DHS 2012 estimates it at 73%) by increasing the supply of improved commercial options presents an enormous opportunity for private sector profit and to improve utilization outcomes.

Financial products focused on under- or un-served populations also have the potential to further increase uptake as initiatives in commercial sanitation products and services improve and become more available and desirable. To significantly scale-up adoption of improved sanitation by the poor, financial instruments will need to be developed and negotiated in cooperation with both prospective clients and financial institutions. This will increase the purchasing power of households to purchase the products that they want and will use over time. Another option is to explore within Uganda's many Savings and Credit Organizations (SACCOs) already present in many districts, along with community self-help groups that can be used to generate savings and provide access to credit facilities.

There are development partners and entrepreneurs operating in Uganda such as Water for People, Captiva, WaterAid, GIZ and others whose work to develop sanitation businesses have been successful albeit not yet at-scale. WSP has undertaken a recent capacity mapping exercise for rural sanitation that highlights some of the overlaps in responsibilities, the capacity needs, and the overall shortage of trained staff. There is incredible opportunity to leverage this groundwork to launch extensive, national private sector involvement in the provision of water, sanitation, and hygiene services that have the greatest potential to meet the demand for improved services.

[16] WSP, *Factors Associated with reaching and sustaining ODF communities: Learning from East Java,* Sept 2011.

5. Development Hypothesis

The USAID/Uganda Sanitation Program is based on the development hypothesis that if demand for improved sanitation and hygiene is stimulated through effective behavior change and complimented by increased access to financial products and private sector led supply of sanitation products and services and the enabling environment is strengthened to promote water and sanitation for all, then both the number of people with access to improved WASH services will increase and the sustainability of those services can be improved which will lead to: *improved health and nutrition status in focus areas and population groups in Uganda*.

6. Activity Description

USAID/Uganda's USP aims to accelerate sustainable improvement in water and sanitation access and improve hygiene behaviors in select target districts. To accomplish that the Awardee shall conduct activities which contribute to following distinct types of outputs:

1. Increase household access to sanitation and water services;
2. Expand key hygiene behaviors at home, school, and health facilities;
3. Strengthen district water and sanitation governance.

The activities the Recipient conducts to achieve these outputs and the indicators and targets for tracking their achievement are described below.

Output 1: Increase household access to sanitation and water services

Essential to enabling improved WASH behaviors is well functioning sanitation and water supply services. However, with government's limited resources and engagement in the provision of these services, engagement of the private sector remains the most promising approach to realize significant improvement of services at scale. With the high prevalence of on-site sanitation and communal sanitation solutions there is a need for more attention to testing and developing promising approaches for the collection, transport, disposal, and treatment/reuse of waste in districts. In water supply despite positive trends in increasing Uganda's water supply coverage, there remain significant questions to both the safety and sustained nature of this access. Particularly the challenge of sustainability of water points is highlighted by the difference between the JMP and GoU estimates for coverage, 21% point difference in 2012 for urban areas. It is believed that as much as 70% of water supplies are partially or completely non-functional, mostly community hand pumps and small systems.

Suggested activities will include:

1.1 Increase access to and improve sanitation products and services

The Recipient will implement a range of best practice efforts to develop and scale-up market-based sanitation products and services in Uganda. Market-based sanitation efforts shall seek to compliment the demand creation approach (activity 2.1) as appropriate. During the program's first 90-day inception/start-up period, the Recipient will engage key stakeholders in government, civil society and private sector to develop a plan, focused on formulating necessary research and testing, in order to develop a national sanitation marketing strategy by year two that applies commercial principles and other key features to Uganda's sanitation service delivery with clear plans for scalability. The Recipient will support the sector to develop a comprehensive understanding of the current market conditions and segments, its trends and drivers, and consumer knowledge, attitudes and practice; and the opportunities and barriers to scale up of services. With a thorough understanding of the market the Recipient will provide technical assistance to existing and emerging enterprises, and support the development of new innovative ones, utilizing customer centered focus in targeted districts. The Recipient will then seek to support and mentor enterprises to utilize creative combinations of the improved products and services with financial services to launch and scale-up offerings, aiming to reach the poor and unserved. The program shall also seek to facilitate a range of financial instruments or credit services to facilitate access to these products and services. Activities shall be timed to ensure complementary supply of hardware and credit services are available as demand is created. Further enabling measures shall be developed with regional, district and local governments to ensure a strong incentive for improvements, especially among the poorest such as laws banning open defecation, financial incentives and reduced barriers for enterprises that enter the market, or public private partnerships opportunities.

1.2 Develop New Management Models for Improved Water Supply and Sanitation Services

The Recipient will seek to improve water and sanitation in district urban centers and small towns through engagement of the private sector in provision of services. In particular, the Recipient will seek to mobilize private sector financing, through small loan guarantees or developing and proposing other creative mechanisms, into O&M and in some cases even meeting capital costs and of water and sanitation services. Especially for rural areas, economies of scale may require strategies such as clustering of services, public private partnerships, or other creative commercially oriented strategies to ensure services such as latrine pit emptying and disposal, solid waste collection, and O&M of piped or hand pumped water supplies are well operated and maintained. The Recipient must be up-to-date with NWSC's expansion, IRC's Sustainable Services at Scale (SSS) model and activities of the WSDF to avoid overlap, adaptation, and collaboration of initiatives where appropriate.

Ensuring the functionality of water supplies and sanitation services will also require greater participation of the beneficiaries (the community), local government and the service provider (entrepreneur). Beneficiaries must be informed and encouraged to become the primary decision makers in the levels of service, such as technology and management selection, based on their ability to effectively plan, manage and sustain operations. Community participation should include all community members appreciating and adopting a gender sensitive approach so that local government entities and beneficiaries become increasingly active and responsible in decision-making. Sensitivity to gender roles will require developing appropriate methods to gain input from both women and men, and setting tangible measures to empower all users to be active in using and maintaining improved services. The Recipient will propose gender-sensitive solutions and investigate their contribution to this program's success. Cultivating Ugandan entrepreneurial capacity will also be key to sustaining the services they provide. Whether individual or organized in a Water Mechanics Association (WMA) the entrepreneurs will require tailored technical assistance for business management and technical O&M.

The targets for this output include:

- 1,500,000 people gain access to an improved sanitation facility[17]
- 3,000,000 people living in ODF environments as a result of USG assistance
- 20% of those gaining access to an improved sanitation facility are in the lowest poverty quintile
- 25 districts have enterprises offering improved latrine products and services
- 25 districts have access to financial products targeted for sanitation improvements
- A national strategy for market-based sanitation improvement
- Five knowledge products created on strengthening market-based sanitation services (such as online media, how-to guides, project notes, journal articles, etc.)
- 25 districts with specialized water and sanitation business development services (BDS) services
- All urban areas in 25 districts have appropriate access to safely managed excreta services, FSM
- 100 water supply systems providing increased access and/or improved functionality through private sector engagement and/or BDS services
- 3 knowledge products created on market-based approaches to investment, operation and maintenance of WASH infrastructure or BDS services.
- Conduct at least one national and regional event to promote learning and scaling of market-based approaches to sanitation

Output 2: Expand Key Hygiene Behaviors at Home, School, and Health Facilities

Greatest health outcomes are achieved when individuals consistently practice improved hygiene behaviors and WASH services are integrated with other health-related programs such as nutrition. As such, the Recipient will drive an effort to expand behavioral and social change in WASH in Uganda through a systematic and evidenced-based social and behavior change program. The Recipient shall also, as opportunities arise, work with USAID's Feed the Future initiative, health, or other nutrition programs, to integrate WASH interventions (especially USAID-supported projects that utilize community health workers) in an increasingly holistic manner, considering USAID's Uganda's geo-focusing policy for realizing concentrated, measurable impact, to implement district-based hygiene behavior change campaigns.

Suggested activities include:

2.1 Implement demand-led Community Led Total Sanitation (CLTS) At-Scale

The Recipient will collaborate closely with other donors and implementing partners to support the GoU's Improved Sanitation and Hygiene (ISH) strategy including ending open defecation in Uganda and scaling up improved sanitation coverage. CLTS is central to the GoU sanitation approach. The Recipient will implement a demand-led, at-scale CLTS program in targeted districts modeled after the best features associated with the current Ugandan Sanitation Fund (USF). The Recipient will seek to emulate all successful aspects of USF implementation model that includes a coordinated sanitation and hygiene behavior change campaign and CLTS implementation approach at district level and directly implement or improve upon them or through sub-agreement implementation to local organizations in coordination with MoH (see section 6.b below). The Recipient will also design appropriate

[17] Standard F indicators

capacity building to the Environmental Health Division (EHD) in MoH, districts and local governments as appropriate.

The Recipient will therefore seek to improve upon the GoU ISH Strategy and USF implementation model where and when appropriate. The MoH and USF have acknowledged some limitations of their model and believe opportunities exist for improvement. The Recipient will support the MoH and Sanitation Working Group, Program Coordination Mechanism (PCM) to improve the GoU ISH Strategy. The Recipient will seek to therefore implement an even stronger, more demand-led version of CLTS that responds to communities' requests and initiative. The Recipient will seek to develop a more professionalized CLTS capacity(s) where it doesn't already exist to respond to the increased need for qualified CLTS facilitators. The Recipient will promote professionalization of CLTS facilitators to increase the quality of facilitation and propose methods for regularizing reasonable income for a smaller but effective cadre of facilitators. The Recipient will support CLTS Training of Trainers, Training of Facilitators in comprehensive CLTS methodology and CLTS-light (also called CLTS orientation or institutional triggering) version for support staff such as DHOs, health extension workers, community health workers and VHTs.

Typical demand-led strategies to promote CLTS include offerings to communities at district/sub-district CLTS roadshows and institutional triggering. Through these roadshows communities will be engaged based on demand and ability to commit time and resources to a process of improvement.

2.2 Increase Adoption of Key Hygiene Behaviors at Home

A key to realizing health improvements from improved water supply and sanitation access includes adoption of the safe disposal of feces, safe food preparation, and hand washing with soap after defecation. The Recipient will implement or even strengthen coordinated district-wide behavior change campaigns that targets these three key hygiene behaviors. In those districts where water *supply* considerations are already addressed, any USP-supported campaign should be integrated and coordinated with other campaigns or initiatives that are ongoing in USP implementation districts, especially other USAID/Uganda projects such as ASSIST, SDS, Community Connector and the community or district-led CLTS. Health, water, or sanitation programming already in place can provide entry points to implement or strengthen key hygiene behaviors. The Recipient shall utilize or improve upon existing community needs, social mobilization and communication practices, and evidence-based behavior change theories and tools then implement them in targeted districts and communities.

2.3 Improve School WASH Behaviors and Management

A school with adequate WASH is one in which the whole school community carries out key practices of using improved sanitation facilities, hand washing with soap at critical times, and drinking safe water. Despite the poor pupil to facility ratio in Uganda many WASH facilities already exist in schools and are often not properly managed, operated or maintained. The Recipient shall provide TA to districts and individual schools to engage with teachers, school directors, parents and student leaders to promote sustainable WASH activities in schools that include promotion of a:

a. Dedicated and paid WASH attendant or coalition at each school for regular operation and maintenance of facilities;
b. Adequate menstrual hygiene management (MHM) facilities for girls;
c. Strong School Health Clubs (SHC) appropriately linked with support from community organizations;
d. Good pupil understanding of WASH practices in and out of the classroom;
e. Access to Fecal Sludge Management (FSM) services.

These activities should be integrated with other WASH activities or trainings in the community, such as CLTS and FSM market-based services. Appreciating where USAID already has investments in education, the Recipient will lend support to an enabling environment by supporting activities such as practically implementing policies or agreements that involve key Ministries, facility standards and establishing agreed-upon criteria for WASH-friendly schools. The Recipient will also strongly focus on activities that promote MHM, including creation of safe, clean, and private spaces for girls to change and wash; and MHM education as part of a school curriculum, club, or program, as well as pad access or pad production.

2.4 Integrate Promotion of Essential WASH Actions in Health Facilities and Nutrition Programs

A particularly vicious cycle exists between diarrhea and under nutrition: children with diarrhea eat less and are less able to absorb the nutrients from their food; and malnourished children are more susceptible to diarrhea when exposed to fecal material from their environment. Hygiene in health facilities is also critically important as the number of facility based infections continues to be high, especially related to neonatal infant mortality caused by infections during birth. USP provides a unique opportunity to take advantage of synergies among USAID's investments in WASH, Feed the Future, health and nutrition to achieve sustainable reductions in under nutrition and neonatal mortality through such an integrated approach. Non-WASH nutrition and neonatal activities carried out by USAID health programs, such as Feed the Future, can be complemented by dedicated WASH activities through co-location, including health facility audits and action planning, promotion of hand washing during community nutrition activities or patients' health facility visits to educate and train patients on household WASH behaviors. Activities may include: identifying behaviors that hinder essential nutrition actions (ENA) and essential WASH actions (EWA); and cross-sector engagement to strengthen WASH information channels and promote demand creation.

The targets for this output include:

- 100,000 households with soap and water at a hand washing station commonly used by family members in USG assisted programs[18]
- 25 Districts with WASH social and behavior change campaigns integrated with nutrition and health services
- 6 knowledge products created on coordinated at-scale demand creation, WASH-nutrition, WASH-health facility, or BCC programming
- 500 schools with a SHC, dedicated attendant for O&M, functioning hand-washing facilities, and adequate MHM
- 500 schools will access to FSM services

[18] Standard F indicator

- 500 health facilities conduct hygiene audits and action planning

Output 3: Strengthen District Water and Sanitation Governance

Underpinning most challenges facing the Ugandan WASH sector are significant weaknesses in governance. Adequate institutional arrangements and capacity needs to be in place for the sustained delivery of high quality WASH services. The Recipient will work to facilitate local ownership and engagement at all stages of USP planning and implementation, allocation of resources and ongoing management responsibility for service delivery. Through an explicit focus on governance and institutional strengthening, the Recipient will work with district, sub-district, community/local, regional and national government entities to develop the necessary supportive structures and capabilities to enable service providers to flourish, and provide necessary support in order to effectively plan, oversee and sustain WASH programming.

Suggested activities include:

3.1 Strengthening local governance and management

Especially in the context of decentralization many challenges facing the Ugandan WASH sector will only be improved through strengthened local governance. The Recipient shall work to facilitate local ownership and engagement at all stages of planning and implementation, allocation of resources, and ongoing management responsibility for service delivery. In doing so, the Recipient shall take part in the annual district planning process, as all district implementation shall be part and partial of district government implementation plans and budget, only administered by the Recipient. The Recipient shall also support establishment and strengthening of community/local, district and regional institutions to develop the necessary capabilities to enable sustainable WASH outcomes. To build upon existing health information monitoring systems (HIMS) and/or national/district/ministerial monitoring systems, the Recipient shall support strengthening mechanisms for a WASH quality monitoring platform with district/local government, the District Water and Sanitation Department (DWSD) and the district health department that systematically feeds back into routine planning activities and helps document results. The Recipient shall also support district and community level ODF monitoring and certification processes that can realistically function at-scale.

3.2 Support Selected WASH Sector Policy Reforms

Despite the GoU's extensive promotion of sanitation improvement through primarily demand creation, impact is only being seen in strongly supported districts with USF sanitation grants (now 30 districts mostly in the east and west). The remaining districts have little funding or pressure to achieve improvements in sanitation, with only an estimated 5.5 million UGX per quarter. Additionally sanitation roles and responsibilities are unclearly aligned with financing or clear approach to national improvement. With definitions for sanitation coverage varied across international and government institutions there is limited momentum to solve this challenge politically. There are concerns whether the uptake of sanitation is occurring only at the lowest levels of the sanitation ladder, and that there is relatively little adoption of MDG-defined 'improved' sanitation facilities. The Recipient shall work with the GoU and other stakeholders to improve government CLTS approach and ISH strategy to achieve immediate adoption of improved sanitation facilities and hand washing facilities rather than accepting the less safe and hygienic alternatives. Such interventions will enhance health outcomes, and also complement work done on commercialization of sanitation products and services supported under Output 1. Similar reform efforts should be undertaken to support enabling environment changes that better sustain water supply infrastructure and services. The Recipient shall propose a definition in their application for an Institutional Strength Index (ISI), which will be a proposed measure of district government functionality to plan, oversee and sustain WASH programming. The final details of the definition will be negotiated during development of the PMP.

The targets for this output include:

- All urban areas in 25 districts have developed or updated a sanitation action plan.
- A effective sanitation monitoring and ODF certification platform developed and supported in target districts
- 2,000 communities certified Open Defecation Free (ODF) as a result of USG assistance[19]
- 25 Districts receive WASH institutional strength index of 75% or greater
- 1 policy, agreement, plan, or regulation enacted/improved in each target district promoting access to improved water supply and sanitation
- 8 knowledge products created on improved WASH governance, sanitation planning, ODF certification, policy reform

7. Activity Monitoring and Evaluation Plan

Monitoring and results reporting is a key element of USAID programs for which the Recipient will become responsible. The Agency seeks data and information to improve performance and effectiveness as well as to inform planning and management decisions. Whether using secondary or first-hand information sources, baseline and end line data collection are also requirements.

This plan should include all indicators needed to demonstrate achievement minimum targets listed in the activity description above as well as any other indicators the Recipient believes to be necessary to adequately track progress and impact of activities. Mapping locations of sanitation services and infrastructure in the selected 25 districts of the program will be essential to understand and demonstrate improved access for the targeted populations. The Recipient's proposed Activity monitoring and evaluation plan shall effectively track activities' inputs and outputs and achievement of Agreement Performance Outcomes over the Agreement's life.

This system shall also facilitate the flow of information within the Recipient's organizational structure, enabling all parties to more effectively monitor and manage activities required. The system shall be designed to collect, store, and report administrative, financial and programmatic data on project inputs and outputs as well as actual progress toward achieving the Agreement Performance Outcomes.

Depending on the Recipient's proposed Activity Monitoring and Evaluation Plan, at the discretion of USAID, USAID may also independently contract an independent baseline, mid-term and end-term evaluations of USP.

[19] Standard F indicator

7.1 Performance Evaluation

Beyond providing a robust, progressive Activity Monitoring and Evaluation Plan and, depending upon the types of monitoring and feedback mechanisms that are established, this activity may also undergo a performance evaluation designed to explore household movement up the sanitation ladder and related health implications. If conducted, the Recipient shall be required to integrate and coordinate project implementation with the evaluation facilitated by an external evaluator to be determined and procured by USAID. The Recipient must make all necessary efforts to support the generation of rigorous evidence in this evaluation while maintaining a practical implementation strategy.

Despite some larger scale efforts to improve sanitation through demand creation activities such as USF, resulting in massive decline in open defecation, there have been only marginal gains in improved sanitation access. However, market-based supply chain development has been shown to be a promising approach to compliment demand creation and support households to reach improved sanitation levels, yet the sector requires significantly more evidence to facilitate further scale-up and understanding. The questions USAID/Uganda plans to answer with this evaluation include the following:

1) PRIMARY QUESTION: Do sanitation interventions that include a market-based as well as community driven approaches improve adoption of improved sanitation as compared to primarily demand creation activities, and to what degree?
2) What are the health impacts of each step up the sanitation ladder (OD to unimproved, unimproved to improved)?
3) What types of implementation modalities could be designed and tested to ascertain cost-effectiveness and other benefits?

If, and as certain evaluations are determined to be conducted, steps must be taken to ensure they become ‘influential’ to the WASH policy makers and others in Uganda and elsewhere, becoming of high interest both locally and globally and will be shared with donors and partners to transfer lessons learned and best practices. Evaluation findings will also be shared with technical staff across USAID and submitted to the Development Experience Clearinghouse (DEC) to promote further learning.

8. Implementation Approach

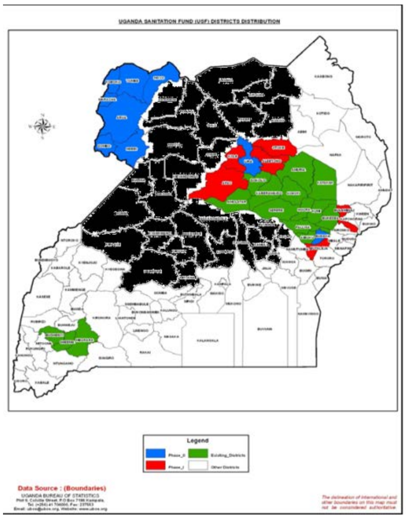
a. Geographic Focus

USP shall be implemented in up to 25 potential focus districts. USP will begin district-based activities in a phased approach. District implementation shall initially begin work in roughly eight districts then incrementally scale-up based on achievement of milestones. The Recipient will target districts where sanitation coverage is lower, in the western and northern districts, an example is shown by the color black in the figure below.

The applicant should propose an approach for selecting up to 25 districts, including necessary criteria for selection and their process for selecting implementation districts. These criteria must contain a process for accessing demonstrated demand from districts such as commitment of resources.

After award, the target districts will be determined during the project's startup with USAID/Uganda and the Project Coordination Mechanism (PCM), a sub-group of Uganda's sanitation working group responsible for overall strategic direction in the sector, as well as in consultation with other relevant ministries. This will be done through a demand led approach involving district governments.

USF supported districts are shown below in red, blue and green. The Recipient will not work in USF supported districts. By complimenting the USF, it is hoped that approximately 50% of Uganda districts will be specifically assisted with demand creation activities (activity 2) while market-based activities (activity 1.1) will cut across nationally benefiting both USF, USP, and remaining districts. All remaining activities of USP will include intense implementation in selected districts.



b. Coordination with Government Entities & District Operational Plans

USAID/Uganda is committed to greater coordination, efficiency, and effective division of labor. A major component of USAID/Uganda's Country Development Cooperation Strategy applies the principles of selectivity and geographic focus by coordinating programming across Mission Development Objectives (DO) in the 19 districts where all three of the DOs have activities. These "Focus Districts," comprising approximately 17 percent of the country, operationalize this concept through a coordinating mechanism known as the District Operational Plan (DOP). The Mission has signed DOPs with the District Government leadership and the Chiefs of Party of each USAID implementing partner operating in that district. The DOPs are Memorandums of Understanding (MOU's) that formalize a process of collaboration, coordination and mutual accountability among the three parties to these agreements. The approach embodies the aid effectiveness principles of country ownership and leadership, consultation, and aid coordination, and seeks to utilize them in order to leverage greater overall development impact.

This USP investment will participate in the implementation of DOPs when working in any of the USAID/Uganda's 19 Mission Focus Districts. In practice, this will mean using the DOP MOU as the framework for annual district-based interventions rather than signing bilateral MOUs with the local government. The Recipient will also provide quarterly reports and work plans of activities to the district, attend quarterly meetings (approximate) with other implementing partners convened by the district government, and provide other relevant information under the DOP. Senior representation will be expected at some quarterly meetings.

In districts that are not Mission Focus Districts the project will be expected to sign bilateral MoUs with the local government. This MOU will specify roles and responsibilities for work planning and reporting between USP and the local government.

c. Sustainability

The USP project has been specifically designed to address chronic failures and gaps in the water and sanitation sector that have led to poor sustainability of services. This project is designed to demonstrate a commitment to sustainability, leveraging considerable financing, and seeking improved services over time. The fundamental thrust of USP is to aim at building a vibrant private sector for water/sanitation service delivery and indigenous capacity, enhancing participation and encouraging accountability through service delivery models which include realistic lifecycle costing, provision for O&M, and transparency through the decentralization and empowerment of communities and individuals. This could include the financial and operational capacity, public-private partnerships, or anticipated GoU political commitment, including local government and local NGO interests to continue the service or activity after USAID's involvement is ended. Or it could be a concrete example(s) or expression of commitment such as:

- i) Project descriptions have been developed in close collaboration with the GoU to align approaches and seek to unlock government financing;
- ii) Leverage GoU financing, particularly seeking MoH and MWE commitment for contribution to rural sanitation and hygiene, for potential cost sharing of activities and continuation after project completion;
- iii) Focus on building strong institutions and improved counterpart capacity to successfully implement (potentially including the capacity to respond to changing contexts and emerging needs with adapted approaches),
- iv) An explicit approach to utilize the private sector's potential to invest in, become more substantial actors, and provide WASH services;
- v) Demand-led, beneficiary driven, implementation of activities to demonstrate commitment, ownership, and continuity of the program outcome.

d. Local Capacity Development(LCD) and Sub-Grants

Local capacity development of government, private sector actors, and implementers is a deliberate and critical component of project activities. All project activities should inherently be designed and implemented to build capacities for local WASH actors and districts to plan, monitor and report on activities once the project has completed and for WASH services to be sustained over time. In particular the Recipient must provide tailored technical assistance, capacity development, and enabling support to actors to closely collaborate, adapt and achieve project objectives.

The Recipient is expected to provide $10 million in sub-grants to local community based organizations (CSOs) and local governments designed to contribute to the achievement of key program results as stipulated in No. 5 above. USAID/Uganda's Health and HIV Office has been programming service delivery through grants via the SDS program in collaboration with other USG partners in the various regions and districts of Uganda. The Recipient will be expected to work in collaboration with SDS to develop grant activities that may be implemented by local governments while ensuring that such grants are managed/administered according to USAID/Uganda approved regulations and approaches, including in kind support. A proportion of these grants may involve the private sector and include public private partnership arrangement as seed grants to extend the reach of USP activities.

e. Sub-Award for Construction

The Recipient, through a contract, will support construction/renovation of WASH infrastructure activities at district and community level that are considered essential to improvement of the project's outcomes. This will include, but is not limited to, fixing sanitation facilities like latrines and hand washing facilities in public institutions, repair of water sources like bore holes and waste disposal facilities. These efforts are expected to build on similar efforts by USAID in other projects in the recent past like WASHPlus and the Northern Uganda Town Sanitation Plans. The Recipient is expected to understand and be familiar with the context in each project district, identify the gaps through a needs assessment and propose appropriate construction support in collaboration with the districts, USAID and appropriate GoU agencies and ministries. $1.8 million has been allocated for construction over the five year project period; the Recipient shall ensure that this activity fully complies with USAID Construction Policy requirements that include:

- Substantial involvement of USAID AO to approve or halt constructions;
- The CA must comply with requirements of ADS 221 USAID's Procedures for Implementing International Agreements for Tied and Untied Aid;
- No construction activities other than those explicitly approved and explicitly stated in the agreement may be performed as part of the CA; and
- Construction activities must be explicit in the budget.

For all design and construction, the A/E firm and Construction Contractor must use International Building Codes (IBC), other generally accepted industry standards or similar Ugandan standards, whichever is more stringent. The work plan should include a notional schedule of construction so the AOR can plan site inspections and verify progress. The AO/AOR reserves the right to inspect the construction work without prior notification. The following is a guide to help determine what is and is not considered construction http://www.usaid.gov/sites/default/files/documents/1868/303maw.pdf.

f. Gender

Women's lack of empowerment and, often, financial dependency in decision-making affect behaviors in the home that affect access to and use of water and sanitation facilities and hygiene behaviors. Infrastructure programs for water and sanitation often do not give enough emphasis to the input and feedback of women who are the primary prospective users of these investments. To be used and have the desired impact, water and sanitation infrastructure and programs must be sensitive to gender roles, reach out for input from women and men, and seek to "empower" all Ugandans to make use of and maintain improved facilities so as to improve their own health and the health of their communities.

Girls require sanitary facilities that give them privacy and dignity. Inequalities in access to safe water especially in rural areas, force young girls to spend hours daily fetching water, causing an enormous drain on their energy, productive potential and health. This disrupts their academic activities. Improving water and sanitation in schools also enables girls at puberty, who have special sanitary needs, to practice proper personal hygiene thus reducing the incidence of water-related diseases.

The Recipient shall ensure that activities are responsive to gender considerations, and seek to ensure that the assistance provided and the results achieved are beneficial to women and girls. Women's participation in decision-making will be enhanced and encouraged in this project. In addition, the Recipient will look for opportunities to develop the capacity of women entrepreneurs to participate in the water, sanitation and hygiene supply chain. This component of the project has the potential to benefit women and children directly from increased income-generating opportunities. Appropriate indicators and key variables must be identified that will help determine whether gender equity and inclusion of other marginalized groups is promoted, eroded, or unaffected by the project activities, or serve to identify constraints, increase our understanding of the negative impact of such disparities with the goal of devising appropriate strategies to eventually attain equality and adequate representation.

Promoting gender equality and advancing the status of women and girls is vital to achieving USAID's development objectives. It is USAID policy that all awardees must mainstream and integrate gender into their interventions. Therefore, the Recipient will be expected to demonstrate compliance with USAID Policy ADS 205, and should explicitly state in their application how this activity supports the gender policies and strategies of the United States and the Government of Uganda[20].

g. Youth

For any meaningful, transformational change to be realized, Uganda's young citizens must be at the forefront of addressing Uganda's economic, health, political and social issues. Available evidence indicates, however, that Uganda is far from reaping any potential demographic dividends. Youth form nearly 50 percent of Uganda's labor force although only 10 per cent are formally employed, youth interests are not politically well represented and any associated activities are the most underfunded. With over 78 percent of Ugandans below the age of 30, Uganda has the world's youngest population.[21]

The Recipient will be expected to include measures for promoting meaningful and measurable youth involvement in designing, planning, and implementation and monitoring of relevant services, including the leveraging of youth development challenges with other USAID financed programs. This project is intended to advance USAID's Youth and Development policy dated October 2012 and USAID/Uganda's Strategic Framework for Youth Programing by enhancing the capacity of youth directly as well as the capacity of those who support their transition to adulthood. The Recipient should carefully investigate local conditions and needs in collaboration with youth-oriented institutions to respond to these concerns.

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[20] These U.S. policies and strategies include: The Gender Equality and Female Empowerment Policy; The U.S. National Action Plan on Women, Peace and Security; The U.S. Strategy to Prevent and Respond to Gender-Based Violence Globally; The USAID Vision for Ending Child Marriage and Meeting the Needs of Married Children; The USAID Counter-Trafficking in Persons Policy.
[21] *State of Uganda's Population 2011*

Proposed activities, the first wave of which will be identified and carried out during the project's early start-up and inception period, should reflect findings from the project's own early youth and gender analyses, using, benefiting and building from already known youth conditions in Uganda that need to be addressed. Such youth analyses should review Uganda's legal and policy frameworks that affect knowledge, attitudes and behaviors, identifying key gaps, and how youth could become more effective, valuable and appreciated community actors.

h. Ability to learn and adapt program approaches

Beyond establishing relatively conventional, activity-level Monitoring and Evaluation plans and reporting systems for meeting USAID/Uganda's need for accurate and timely monitoring and program reporting requirements, USAID also expects the Applicant to propose in their application a range of promising methods for designing and implementing a range of "to-be-packaged- and- tested" interventions, conceived, financed and managed in ways that lend themselves to the Recipient's conducting various cost-effectiveness and other types of analyses. Such analyses would consider not only the types of systems believed to be(come) effective intervention packages, but also how different types of partners, technologies, delivery and implementation arrangements can also be tested. Driving and monitoring such a program's effectiveness in such a rich, institutional landscape will require the Recipient's careful consideration of what types of short, focused studies and methods for providing rapid program feedback would be suitable and provide attractive evidence for making program course corrections and decisions. For example, the locations of clean water and sanitation activities that are funded as part of this award will be mapped, and the mapping data will be shared with the USAID/AOR and GIS Specialist, as well as with the District Local Governments.

These types of action-learning, monitoring and program reflection methods used to ascertain program effectiveness in complex implementation environments are now well documented. Some of these include participatory methods such as stakeholder feedback, be it local scorecards or mobile applications, network analysis that can reveal informational flows and relational dynamics of 'who decides and who benefits' and making program adjustments based on findings, or variations of outcome mapping and other methods of monitoring, action-research and otherwise generating faster, responsive program feedback that can foster more practical, problem-derivate iterative adaption. There will be budgetary implications for designing a robust M&E aspect of the USP program.

7. Staffing Pattern and Key Personnel

a. **The Chief of Party (COP) – 100% Level of Effort;** will enhance the opportunities to link more closely with other USAID/Uganda Mission-sponsored projects, other USG-sponsored cross-sector activities, and agencies and ministries on the urgent actions and partnerships needed to achieve the expected results. A seasoned WASH sector professional thoroughly familiar with the state of the Ugandan WASH sector, the COP will serve as the Institutional Liaison and will be responsible for chief administrative oversight for the project.

   The COP will have the following minimum qualifications:

- A minimum of 10 years of professional experience, with progressively increasing responsibilities and duties, in fields related to the successful implementation of projects such as water and sanitation technical expertise, local governance and/or private sector capacity building for improvement of water and sanitation services, and behavior change promotion.
- An advanced graduate degree in a similarly related field of study, e.g. environmental or civil engineering, public health, business administration, governance, etc.
- Proven experience as Chief of Party (COP) or leadership in the administration of similar size international donor support programs with skills in strategic planning, management, supervision and budgeting.
- Proven ability to develop and communicate a common vision among diverse partners and the ability to lead multi-disciplinary teams.
- Evidence of strong communication skills, both interpersonal and written, to fulfill the diverse technical and managerial requirements of the Agreement.
- Knowledge of Ugandan water supply and sanitation issues preferred.

b. Other Key Personnel - 100% Level of Effort

All other key personnel and minimum qualifications criteria are named below. The following type of expertise and skills are required to be represented in some combination among the proposed key personnel (including the COP):

- Experience in small and medium enterprise development and/or social marketing approaches in support of such development;
- Water, sanitation, and hygiene, including engineering applications, overseeing construction, and environmental concerns;
- At least one Key Personnel must have a professional engineer's license through a professional society or government agency and be responsible for design certification;
- Extensive formative research, progressive M&E applications, surveys/studies, and evaluations;
- Experience working within Uganda;
- WASH sector finance and micro-finance expertise; and
- Track record of effective liaison with Ugandan government officials and policy makers.

Position	Key Qualifications
Private Sector Development Advisor	• Master's degree in Business, Management, Economist, Finance or related field • A minimum of 10 years of experience in the private sector or providing technical assistance to improve private sector performance. • Prior experience with WASH and private sector development
Monitoring, Evaluation, and Learning (MEL) Advisor	The proposed candidate will be in charge of the monitoring, evaluation components of this contract. S/he shall develop monitoring, evaluation and reporting (MER) systems. The MER system will include appropriate indicators, baseline data, targets and a plan to evaluate performance and produce timely, accurate and complete reporting. S/he will have the following qualifications, skills and experience: • Master's Degree in Monitoring and Evaluation, epidemiology,

Position	Key Qualifications
	biostatistics, statistics, research methods or other closely related discipline and a minimum of five (5) years in M&E for health programs, demonstrating increased level of responsibility, OR a Bachelor's degree in statistics, biostatistics, social sciences and epidemiology and a minimum of eight (8) years in M&E for health programs, demonstrating increased level of responsibility. Working with multiple stakeholders, including experience with Government counterparts, will be an added advantage. • Proven ability to articulate technical information clearly and effectively to both technical and non-technical audiences. • Demonstrated experience in successfully moving evaluation and research findings to program actions. • Strong interpersonal, writing and communication skills.
CLTS/BCC Advisor	• Master's Degree in public health, engineering, business or similar field • At least 10 years of general public health expertise including engagement of government counterparts in coordination, planning and monitoring of initiatives. • Proven experience in undertaking at-scale public health activities. • Demonstrated understanding of behavior change strategies including experience formative research, strategy development and implementation. Deep understanding of CLTS and typical WASH BC methodologies.
Finance & Administration Manager	• Bachelor's degree with professional certificate or higher in Accounting, Business Administration or Related field. • A minimum of 10 years of experience in financial management. • At least 5 years of successful experience overseeing donor-funded technical assistance projects of similar magnitude and complexity in developing countries. • At least 3 years of successful experience providing administrative support to an international organization, including dealing with procurement, contracts management, and HR related matters. • At least 3 years of experience in overseeing subawards including construction contracts and/or subgrants. • Substantial financial management experience managing USG funded awards as well as knowledge of USG policy, procedural and reporting requirements. • Experience with computerized accounting and strong organizational and leadership skills.

USAID requires that one of the "other key personnel" be designated by the Recipient as the Deputy Chief of Party (DCOP). When the COP is absent, the DCOP will be responsible for technical leadership of the program and management of the team of senior staff and any potential sub-partners to ensure quality, timeliness, and efficiency of all products and activities generated under the project. The Recipient should propose a clear delineation of responsibilities between the COP and DCOP.

8. **Authorizing Legislation:** The authority for this NFO is found in the Foreign Assistance Act of 1961, as amended; and is subject to 2 CFR 700 and 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit requirements for Federal Awards.

[END OF SECTION A]

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide $31,461,000 in total USAID funding over a 5-year period. The ceiling for this program is $31,461,000. Actual funding amounts are subject to availability of funds.

USAID intends to award a Cooperative Agreement pursuant to this notice of funding opportunity.

USAID reserves the right to fund any one or none of the applications submitted.

2. Start Date and Period of Performance for Federal Awards

The period of performance anticipated herein is 5 years. The estimated start date will be upon the signature of the award, on or about October 12, 2015.

3. Substantial Involvement

USAID will be substantially involved during the implementation of this Cooperative Agreement in the following ways:

a. Approval of the Recipient's Implementation Plans
b. Approval of Specified Key Personnel
c. Agency and recipient collaboration or joint participation (collaborative involvement in selection of advisory committee members, concurrence on selection of sub-award recipients, and/or the substantive provisions of the sub-awards).
d. Agency Authority to Immediately Halt a Construction Activity

4. Title to Property

Property title under the resultant agreement shall vest with the cooperating country in accordance with the Requirements of 2 CFR 200.312 -Federally-owned and exempt property.

For Non US Non-Government Organizations, ADS Standard provision - TITLE TO AND USE OF PROPERTY (DECEMBER 2014) - title to all Property financed under this award vests in the recipient upon acquisition unless otherwise specified in this award; applies.

5. Authorized Geographic Code

The geographic code for this program is **935.**

6. Purpose of the Award

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the Uganda Sanitation Program which is authorized by Federal statute.

The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award. The Recipient using its own unique combination of staff, facilities, and experience, has the primary responsibility for employing whatever form of sound organization and management techniques may be necessary in order to assure proper and efficient administration of the resulting award.

[END OF SECTION B]

SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

U.S. and non-U.S. organizations may participate under this NFO.

USAID welcomes applications from organizations which have not previously received financial assistance from USAID.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant will be subject to a responsibility determination assessment (Pre-award Survey) by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

2. Cost Sharing or Matching

The Applicant must propose a minimum cost share of 5% of the Total Estimated Cost in order to be considered eligible for award. The cost share is addition to the TEC amount. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. For guidance on cost sharing in grants and cooperative agreements, see 2 CFR 200 and 700, and ADS 303.3.10.

[END OF SECTION C]

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Nancy Kleinhans
Agreement Officer
USAID/Uganda
Email: nkleinhans@usaid.gov
Tel: 256 414 306001

Questions and Answers:

Questions regarding this NFO should be e-mailed to KampalaUSAIDSolicita@USAID.gov no later than August 10, 2015, 4:00 EDT to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation. Any information given to a prospective Applicant concerning this NFO will be furnished promptly to all other prospective Applicants as an amendment to this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

2. Content and Form of Application Submission

Applications must be in Times New Roman 11 point font., compatible MS Word and .pdf (Adobe Acrobat with Optical Character Recognition) versions and budgets as text accessible, Excel spreadsheets (showing all corresponding formulas and calculations). In case of any conflicts between the MS Word and .pdf word searchable versions of the application, the .pdf version will govern as it will be the version presented to the Technical Evaluation Panel.

In the event Representations and Certifications are not submitted with the Application, they must be completed before final award is made.

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, should mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of – or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers} and, mark each sheet of data it wished to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

3. Application Submission Procedures

Only electronically (by e-mail) submitted applications will be accepted. No hard copy or fax applications will be accepted. Applications should be emailed to: KampalaUSAIDSolicita@USAID.gov, to the attention of Alimo Florence, Acquisition and Assistance Specialist, and Nancy Kleinhans, Agreement Officer. Each email and its attachments should not exceed 4MB.

It is the Applicant's responsibility to ensure that all necessary documentation is complete and received on time.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

Applicants must indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "[NFO Number/NFO Title], [organization name], Cost Application, Part 1 of 2".

Applications shall be submitted in two separate parts: (a) Technical Application, and (b) Cost/Business Application. Our preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear. All applications received by the submission deadline will be reviewed for responsiveness to the NFO and the application format. No addition or modifications will be accepted after the submission date.

After you have sent your applications electronically, immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

4. Technical Application Format

The technical application will be the most important factor for consideration in selection for award of the proposed Cooperative Agreement. The technical application should be specific, complete and presented concisely. The application should demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program.

The Technical Application must be in English and must not exceed 35 pages – excluding annexes. Pages in excess of the limit will not be evaluated. Footnotes, charts, and tables will be included in the page limit requirement.

Depending on the political climate in the country the implementing partner may need to adjust level of engagement with governmental authorities. The Applicant must describe steps that will be taken, if necessary, to foster stronger community level, non-governmental, including private sector, relationships.

The technical application must include the following, in the order presented below:

a) Cover Sheet (not to exceed 1 page, not part of the 35 page limitation for the technical application) that includes the following:

- Activity Title;
- Notice of Funding Opportunity reference number;
- Name of organization(s) applying for the agreement;
- Any partnerships; and
- Contact person, telephone number, fax number, address, and types name(s) and title(s) of person(s) who prepared the application, and corresponding signatures.
- DUNS and TIN number for primary Applicant
- System of Award Management (SAM) registration Status (active or inactive);

b) Table of Contents (not to exceed 1 page)

c) Executive Summary (not to exceed 2 pages)

d) Technical Approach (not to exceed 21 pages)

The technical approach must demonstrate an in-depth understanding of the development challenges in Uganda, outline specific activities and explain how the proposed activities would help achieve the activity objectives stated in Section A Program Description. Applicants are encouraged to propose innovative yet realistic approaches that are most appropriate in the context of Uganda, as well as methods by which new approaches will be analyzed and adapted as needed throughout implementation. Applicants should propose sound approaches for engaging, collaborating and working with other USG and health sector partners, government institutions and private sector partners in the design, planning, implementation and monitoring of the activity. The applicant must propose an approach for selecting up to 25 districts, including necessary criteria for selection and their process for selecting implementation districts. The application should address how this activity supports the gender policies and strategies of the United States and the Government of Uganda. The Applicant should propose a range of promising methods for designing and implementing a range of “to-be-packaged- and- tested” interventions, conceived, financed and managed in ways that lend themselves to conducting various cost-effectiveness and other types of analyses. The technical approach must clearly address the factors outlined in the merit review criteria of this NFO.

e) Staffing Pattern and Key Personnel (not to exceed 4 pages)

Applicant should describe how the proposed personnel will contribute towards achieving the objectives and results described in the activity description. The Applicant will describe how the technical expertise, education and experience of all staff members is conducive to achieving expected results and how key personnel meet the minimum requirements in Section A Program Description. The staffing pattern should specify the role and estimated amount of time each staff member will devote to the activity and/or specific components within the activity. The Applicant will propose sufficient short-term expertise in order to implement effectively, making use of local specialists when available.

f) Management Plan and Institutional Capacity (not to exceed 5 pages)

The application shall include a detailed description of the management approach for implementing the proposed activity, which includes specifying the composition and organizational structure of the entire implementation team (including home office support); describing each team member's role and level of effort. Including:

- Describe and justify the team composition and organizational structure of the activity, as well as the mechanisms by which coordination and knowledge flow across the structure will be assured.
- How the Applicant shall mobilize in terms of personnel, logistics set-up, and establishment of management and financial control systems.
- Types of strategies or approaches for cost containment that shall be adopted.
- The Applicant's plan and capacity to manage small scale construction projects.
- Where project offices outside of Kampala shall be located as well as how that selection enhances results, while ensuring collaboration.
- Proposals should also demonstrate Applicant's approach for validating interventions to ensure activities are responsive to gender considerations and support youth.

If the Applicant presents as a consortium/partnership of organizations or groups, the application should:

- Describe the proposed consortium model and clearly demonstrate the expertise and the cost/benefit of the participating partners and the unique set of experience and expertise they bring to strengthen the activities undertaken.
- The plan should also clearly delineate the roles, responsibilities and lines of communication, authority between all consortium members, while specifying mechanisms through which collaboration and knowledge sharing will occur among teams will occur.

While construction is expected to be a small percentage of this grant, if the Applicant does not have the in-house capability to perform construction, they must contract with an Architectural/Engineering (A/E) Firm for design and construction oversight services and a Construction Contractor for construction services. The A/E firm must have at least five years' experience in health care facility design and construction oversight. The Construction Contractor must have similar experience and credentials appropriate for construction and rehabilitation.

g) Past Performance (not to exceed 2 pages)

The Applicant should describe experience implementing activities of similar size and scope, including past performance demonstrating their ability to address gender gaps and to empower women and girls. This can include a description of both prime and any consortium member/partner experience. This section compliments Annex 6 and as such should not be repetitive or lengthy.

h) Authorized Annexes (The below are the only Annexes authorized under this solicitation. No other supporting documentation will be reviewed and evaluated):

The following six annexes shall be submitted within the page limits indicated; any pages exceeding the limits for each annex will not be considered. No other supporting documentation will be reviewed and evaluated:

Annex 1: Draft Activity Monitoring and Evaluation Plan (not to exceed 5 pages)

A draft Activity Monitoring and Evaluation plan shall be submitted with the application and shall include:

- Performance indicators, planned data sources, data collection and calculation methods, baseline data and annual targets directly linked to proposed activities, including attention to differential impacts by sex and age.

Annex 2: Resumes of Key personnel

This section shall include resumes for all key personnel candidates and any other personnel proposed for significant positions. Resumes may not exceed three pages in length and shall be in chronological order starting with the most recent experience. Each resume shall include three past performance references, up-to-date telephone numbers and email contact information. Equal consideration shall be given to equally-qualified women and men when recruiting for the project.

Annex 3: Key Personnel Letters of commitment

A commitment letter from each candidate indicating his or her: (a) availability to serve in the stated position, in terms of days after the award; (b) intention to serve for the stated term of service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application.

Annex 4: Organizational chart and Staffing Plan Matrix

Showing the staff reporting lines and relationships between the different positions.

Annex 5: Draft Year One Work Plan

This shall include:

- Specific steps to achieve the proposed results in year 1, including outputs, outcomes, deliverables and milestones.
- A mobilization plan, which shall include at a minimum, a timeline for mobilization of key personnel and technical leads, plan for hiring, startup of office (s), and major equipment procurement.

Annex 6: Past Performance Matrix

List not more than five (5) of the most recent and relevant contracts, grants, cooperative agreements, etc., for similar or related programs during the past three years for the prime and each major subawardee.

The applicant shall provide past performance; information for itself and each major sub awardee (whose proposed cost equals 20% or more of the applicant's total proposed cost or any sub-awardee, which shall have principle responsibility for implementing one or more of the program components/deliverables or results area regardless of dollar value) in accordance with the following:

Applicants shall provide for each of the contracts listed the following information regarding its past or current performance: (1) a brief description of the work performed and key project accomplishments/results achieved to date; (2) primary performance location of work; (3) contract amount; (4) name of the technical contact person and (5) current telephone number and email address of responsible representative from the organization for which the work was performed and (6) beginning and end dates (with specification of whether the work was being done as a prime or a sub). Applicants/sub-awardees must either provide this information or affirmatively state that it possesses no information directly relevant to similar past performance.

The Government reserves the right to verify the experience and past performance record of cited projects or other recent projects by reviewing Contractor Performance Reports (CPR's), other performance reports, or to interview cited references or other persons knowledgeable of the Applicant's performance on a particular project. The Government may check any or all cited references to verify supplied information and/or to assess reference satisfaction with performance. References may be asked to comment on items such as: Quality of Product or Service, Cost Control, Timeliness of Performance, Customer Satisfaction, and Key Personnel, non-discrimination in the delivery of services. The Agreement Officer may also consult other resources and references not provided by the applicant related to the applicant's past performance.

5. Cost Application Format

The Cost or Business Application shall be submitted separately from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility.

The following sections describe the documentation that the Applicants must submit to USAID prior to award. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary details to address the following:

1. The budget (as broken down below) must have an accompanying detailed budget narrative and justification that provides in detail the total program amount for implementation of the program your organization is proposing. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.).:

- A summary budget;
- A detailed/itemized budget; including illustrative costs for environmental compliance implementation and monitoring; (the required budget format is found in Attachment D of this NFO).

2. A budget for each program year with an accompanying detailed budget narrative which provides in detail the total costs for implementation of the program. The budget must be submitted using Standard Form 424 which can be downloaded from the following web site at: http://apply07.grants.gov/apply/FormLinks?family=15

3. A breakdown of all costs associated with the program according to the costs of, if applicable, headquarters, regional and/or country offices.

4. Applicants who intend to utilize contractors or sub-awardees should indicate the extent intended and a complete cost breakdown. Extensive contracts/agreement financial plans should follow the same cost format as submitted by the primary Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the program should be provided.

Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting proposed by the contractor, and the quality of its record of past performance for similar work. For-profit contract organizations that work under the award and do not meet the above definition of a sub-awardee are eligible for profit/fee.

The Applicant must submit a Negotiated Indirect Cost Rate Agreement NICRA if the organization has such an agreement with an agency or department of the U.S. Government. If no NICRA the Applicant should submit the following:

Reviewed Financial Statements Report: a report issued by a Certified Public Account (CPA) documenting the review of the financial statements was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation. The account must also state the he or she is not aware of any material modifications that should be made to the financial statements; or

Audited Financial Statements Report: a report issued by an Auditor documenting the audit was conducted in accordance with Generally Accepted Auditing Standards (GAAS), the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework.

Costs supporting the establishment of a secure working environment and that mitigate the risk in implementing the activity must be included in the cost proposal with sufficient description/explanation in the cost proposal narrative.

1. Potential Request for Additional Documentation

Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility.

2. Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement."

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

b. The Recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000- d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

c. If the Recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the Recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

The undersigned certifies, to the best of his or her knowledge and belief, that:

(2) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(3) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, “Disclosure of Lobbying Activities,” in accordance with its instructions.

(4) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

3. Statement for Loan Guarantees and Loan Insurance

"The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure."

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

By signing and submitting this application, the prospective Recipient provides the certification set out below:

a. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

b. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

- Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

- Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site: **http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm**.

- Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

- The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

c. For purposes of this Certification -

a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

b. “Terrorist act” means -

(i)) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: **http://untreaty.un.org/English/Terrorism.asp**); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. Certification of Recipient

By signing below the Recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non- Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the Recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The Recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the Recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the Recipient.

Notice of Funding Opportunity No:

Date of Application

Name of Recipient

Typed Name and Title

Signature

Date

Part II – Other Statements of Recipient

1. **Authorized Individuals**

The Recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the Recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.

2. **Taxpayer Identification Number (TIN)**

If the Recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN:

3. **Data Universal Numbering System (DUNS) Number**

a. Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

b. The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should register with Dun & Bradstreet (D&B) to get a Data Universal Numbering System (DUNS) Number for free by going to http://fedgov.dnb.com/webform and also acquire a NATO COMMERCIAL and GOVERNMENTAL ENTITY CODE (NCAGE) from https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx. Acquisition of the NCAGE Code and DUNS number will facilitate registration in SAM on www.sam.gov. The recipient should be prepared to provide the following information:
   - Recipient's name.
   - Recipient's address.
   - Recipient's telephone number.
   - Line of business.
   - Chief executive officer/key manager.
   - Date the organization was started.
   - Number of people employed by the recipient.

c. Company affiliation.

Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS:

4. **Letter of Credit (LOC) Number**

If the Recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:
LOC:

5. **Past Performance References**

On a continuation page, please provide past performance information requested in the NFO.

6. **Type of Organization**

The Recipient, by checking the applicable box, represents that -

a. If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a state or local governmental organization, [ ] a private college or university, [ ] a public college or university, [ ] an international organization, or [ ] a joint venture; or

b. If the recipient is a non-U.S. entity, it operates as [ ] a corporation organized under the laws of (country), [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a nongovernmental educational institution, [ ] a governmental organization, [ ] an international organization, or [ ] a joint venture.

7. **Acquisition & Assistance Policy Directive No:14-03: "Representation by Organization regarding a Delinquent Tax Liability or a Felony Criminal Conviction (August 2014)"**

(a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1)Was "convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government"; or

(2)Has any "unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government".

For the purposes of section 7073, it is USAID's policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation:

(1)The Applicant represents that it is [ ] is not [ ] an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

(2)The Applicant represents that it is [ ] is not [ ] an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

[End of Provision]

Part III – Special Provisions

The following Special provisions shall be made part of any award issued under this NFO:

1. Value Added Tax and Customs Duties

Pursuant to bilateral agreements with the Government of Uganda (GOU), all imports and expenditures under this agreement by the Recipient and by non-local subcontractors/sub Recipients (as defined below) are exempt from Value-Added Tax (VAT) and Customs Duties imposed by the GOU. The GOU does not allow tax exemption at the point of sale. The Recipient must follow the guidance noted below to ensure VAT funds are appropriately refunded to USAID Uganda:

1. The Recipient must include VAT expenses in the award budget and bill USAID for payment of VAT.
2. USAID will lead the process for obtaining a refund from the GOU. The refund process currently takes several years and as such will not be credited back to the Recipient award.
3. The Recipient shall maintain complete files with original VAT tax invoices/receipts from vendors.
4. The Recipient is responsible for ensuring that subcontractors and sub grantees comply with this requirement.
5. All VAT claims, for the Recipient, subcontractors and sub grantees, shall be submitted to USAID through the prime Recipient.
6. USAID will assist the Recipient to obtain customs exemption certificate on imports.

The USAID point of contact for submission of quarterly VAT information is: kampalavatusaid@usaid.gov

[End of Provision]

2. Non-Discrimination in implementation of USAID-funded Programs

In the implementation of USAID-funded programs, the Recipient or subrecipient shall not discriminate against any beneficiary or potential beneficiary, such as but not limited to, by capriciously or selectively withholding or denying assistance or benefits under the project, on the basis of any non-merit factor, including one or more of the following bases: race, color, religion, sex (including gender identity or perceived gender non-conformity, and pregnancy) national origin, disability, age, sexual orientation, genetic information, marital status, parental status, political affiliation, veteran's status, or other factors that adversely impact the beneficiaries' access to, or participation in, services provided under the award. Nothing in this provision is intended to limit the ability of a Recipient to target assistance to certain populations as defined in the approved workplan of a USAID-funded program.

[End of Provision]

3. Support to the Government of Uganda

Salary supplements are not to be paid to GOU officials, except in very exceptional circumstances. Salary supplements are payments made that augment an employee's base salary or premiums, overtime, extra payments, incentive payment, and allowances for which the GOU employee or official would normally qualify under GOU rules or practice for the performance of their regular duties, or for work performed during their regular office hours. Examples of salary supplements include, but are not limited to, Sitting Fees and Facilitation Fees. Should such a need arise, salary supplements can only be paid after obtaining specific written approval (waiver) by the USAID Assistant Administrator in Washington D.C. Recipients shall submit waiver requests to the AOR for action.

Notwithstanding the waiver process, no GOU policy-making officials can ever receive salary supplements. Policy-making officials are high level elected or appointed officials, such as those serving on the cabinet or in an immediately subordinate sub-cabinet position.
Any costs determined to be salary supplement by the AO may be deemed unallowable.

[End of Provision]

4. Procurement Executive's Bulletin No. 2014-06: "Electronic Payments System"

1. Definitions:

a. "Cash Payment System" means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.

b. "Electronic Payment System" means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

2. The Recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, subrecipients, or contractors.

3. Exceptions. Recipients are allowed the following exceptions, provided the Recipient documents its files with the appropriate justification:

a. Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.

b. Cash payments made to payees where the Recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.

c. Cash payments to vendors below $3000, when payment through an electronic payment system is not reasonably available.

d. The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.

4. More information about how to establish, implement, and manage electronic payment methods is available to Recipients at http://solutionscenter.nethope.org/programs/c2e-toolkit."

Additional information on Digitizing Payments for USAID Beneficiaries in Uganda is available to Recipients at - Pilot Report: www.usaid.gov/documents/1860/digitizing-payments-usaid-beneficiaries-uganda-pilot-report

[End of Provision]

5. Acquisition & Assistance Policy Directive No: AAPD 15-01 dated April 2, 2015 "Prohibition on providing Federal Assistance to entities that require certain internal confidentiality agreements"

(a) The recipient must not require employees, subawardees, or contractors seeking to report fraud, waste, or abuse to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractor from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(b) The recipient must notify employees that the prohibitions and restrictions of any internal confidentiality agreements covered by this provision are no longer in effect.

(c) The prohibition in paragraph (a) of this clause does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) (1) In accordance with section 7 43 of Division E, Title VI I, of the Consolidated and Further Continuing Resolution Appropriations Act, 2015 (Pub. L. 113-235), use of funds appropriated (or otherwise made available) under that or any other Act may be prohibited, if the Government determines that the recipient is not in compliance with the requirements of this provision.

(2) The Government may seek any available remedies in the event the recipient fails to comply with the requirements of this provision.

6. Unique Entity Identifier and System for Award Management
Dun and Bradstreet and SAM.gov Requirements

USAID may not award to an applicant until the applicant has complied with all applicable unique entity identifier (DUNS Number) and SAM requirements. Each applicant is required to:
(i) Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient.;
(ii) Provide a valid unique entity identifier in its application; and
(iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

Applicants should register with Dun & Bradstreet (D&B) to get a Data Universal Numbering System (DUNS) Number for free by going to http://fedgov.dnb.com/webform and also acquire a NATO COMMERCIAL and GOVERNMENTAL ENTITY CODE (NCAGE) from https://eportal.nspa.nato.int/AC135Public/scage/CageList.aspx. Acquisition of the NCAGE Code and DUNS number will facilitate registration in SAM on www.sam.gov.

7. Funding Restrictions

USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

[END OF SECTION D]

SECTION E: APPLICATION REVIEW INFORMATION

1. Merit Review Criteria

The Merit Review Criteria are tailored to the requirements of this particular NFO and are set forth below. Applicants shall note that these criteria serve to: (a) identify the significant matters which applicants shall address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants must organize the narrative sections of their applications with the same headings and in the same order as the selection criteria.

USAID Uganda intends to evaluate the applications and award an agreement without discussions with the applicants. However, USAID reserves the right to conduct discussions if the latter is determined by the Agreement Officer to be necessary. Therefore, the initial application shall contain the applicant's best terms from a Technical and Cost/Price stand point.

2. Review and Selection Process

Application Review Information

A. Technical Evaluation

USAID will conduct a merit review of all applications received that comply with the instructions in this NFO. Applications will be reviewed and evaluated in accordance with the following equally rated criteria:

Criterion 1: Technical Approach Extent to which the Applicant's proposed technical approach (including: development context, core principals, implementation strategy, proposed activities and focus districts, draft first year work plan, cross-cutting issues, and performance management plan) represents a strategic, convincing, sound, and realistic approach to achieve the objectives and results specified in the Program Description and is adaptable to a changing political and/or regulatory environment.
Criterion 2: Key Personnel and Staffing Plan Extent to which the proposed personnel, team composition and staffing plan provide the technical, analytical and interpersonal skills and experience to convincingly demonstrate the Applicants' ability to achieve activity objectives and results specified in the Funding Opportunity Description. Note: Key Personnel that do not meet the minimum requirements included in Section A.8 of the NFO will be rated deficient. Similarly, a staffing plan that does not provide rationale and level of effort for proposed positions will also be rated deficient.
Criterion 3: Management Approach and Institutional Capacity Extent to which the applicant convincingly demonstrates how its management approach and institutional capability will lead to successful and effective implementation of the proposed technical approach.

Criterion 4: Past Performance

The Applicant demonstrates previous success in implementing programs of similar size and scope including: quality of product or service, consistency in meeting goals and targets, schedule (timeliness of performance), cost control, business relations, and management of key personnel, and non-discrimination in the delivery of services.

Note: In cases where (i) an Applicant lacks relevant past performance history, (ii) information on past performance is not available; the Applicant will not be evaluated either as favorable or unfavorable on past performance.

USAID reserves the right to obtain past performance information from other sources including those not named in the applicant's application. Past performance references will not be checked for applicants that receive an 'Unsatisfactory' rating.

B. Cost Evaluation

While Cost is less important than technical and is not weighted; however, the cost applications of the highest rated technical applications will be evaluated for cost effectiveness including the level of proposed cost share. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured for a responsibility determination.

The application with the lowest estimated cost may not be selected if award to a higher priced technical application offers a greater overall benefit for the program. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.

Cost estimates will be analyzed as part of the application evaluation process. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

Cost Sharing

USAID has established a suggested cost share of 5% of the Award's projected value, $**1,573,050** for the recipient of the award. Leveraged non-USAID resources from private firms and institutions (such as equipment, training, level of effort and any in-kind contributions) may be considered part of cost share. Cost sharing may be also demonstrated either through direct funding, beneficiary contributions, in-kind assistance, or a combination thereof. USAID shall make the final determination and assess whether or not the Applicants cost share contributions (e.g. categories or items) meet the standards set in 2CFR 200.

3. Anticipated Announcement and Federal Award Dates

The estimated start date will be upon the signature of the award, on or about October 12, 2015.

[END OF SECTION E]

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Award of the agreement contemplated by this NFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

2. Administrative & National Policy Requirements

- Following selection for award, a Recipient will receive an electronic copy of the notice of award signed by the Agreement Officer which serves as the authorizing document. USAID will issue the award to the contacts specified by the Applicant in its application documents and/or the Authorized Individuals submitted by the Applicant.
- 2 CFR 700, 2 CFR 200, applicable OMB Circulars (i.e., A-21 for Universities or A-122 for Non-Profit Organizations, and A-133) and ADS 303 (http://www.usaid.gov/policy/ads/300/ 303.pdf), Standard Provisions for U.S. and Non-US Non-governmental Organizations are applicable. Site: Resulting awards to U.S. Non-government Organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS 303), 2 CFR 200, and Standard Provisions for Non-Governmental Organizations.
- 2 CFR 200 is available at: http://www.ecfr.gov/cgi-bin/text-idx?SID=4c01e47d9cc0c64537d80b25b3f6942f&mc=true&node=pt2.1.200&rgn=div5
- OMB Circulars are available at: http://www.whitehouse.gov/omb/circulars_default
- Standard Provisions for U.S. Non-Governmental Organizations are available at: http://www.usaid.gov/policy/ads/300/303maa.pdf.
- Standard Provisions for Non-U.S. Non-Governmental Organizations are available at: http://www.usaid.gov/policy/ads/300/303mab.pdf.
- ADS 308 is available at: http://www.usaid.gov/policy/ads/300/308mab.pdf
- Resulting award to Public International Organizations (PIOs, or IOs) will be administered in accordance with Chapter 308 of USAID's ADS including the Standard Provisions set forth in ADS 308.5.15.
- Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime Recipient under grants and cooperative agreements. However, if a prime Recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.
- The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: http://www.usaid.gov/sites/default/files/documents/1868/591maa.pdf

3. Reporting Requirements

a. Financial Reporting:

The SF-425 Federal Financial Report (http://www.whitehouse.gov/sites/default/files/omb/ assets/grants_forms/ SF-425.pdf) must be completed by the Recipient and e-mailed to the AOR and KampalaUSAIDVouchers@usaid.gov.

Financial Reports shall be in accordance with 2 CFR 200.327. The Final Financial Report will be submitted within 90 days from the end date of the program. This information can be routinely used to determine costs per activity, category, and geographically to inform improved implementation and strategic direction over time.

Reports are due as noted below:

Reporting Quarter	SF-425 Due Date
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30
October 1 – December 31	January 30

b. Performance Reporting:

Quarterly Performance Report
Within 30 days after the end of each quarter, the Recipient shall submit one original and two copies of a performance report to the AOR. The performance reports are required to be submitted **quarterly** and shall contain the following information on activities in the selected districts. The reports must include the following: 1) quantitative and qualitative analysis of progress against objectives, results, and targets; 2) summary of key activities for next quarter; 3) discussion of lessons learned, good practices and success stories; 4) challenges outside scope of program, which affect implementation; 5) summary table of indicators, targets and results to date; 6) Financials for the quarter and projections for the next two quarters. Further, notification must be given in the case of problems, delays or adverse conditions which materially impair the ability to meet the objectives of the award. These notifications must include a statement of the action taken or contemplated and any assistance needed to resolve the situation.

Following receipt of the report, a “quarterly review” meeting with the AOR and other relevant Mission staff will be held to discuss results, challenges and the way forward.

Annual Reports
Within 90 days after the close of each activity year, the recipient shall submit to the AOR an annual report, inclusive of the final quarter report, which reflects the progress of the program activities over the last year against the work plan/performance targets. The report should indicate the outputs and impact the program is having on the target beneficiaries. Annual and cumulative to date data should be included. Anecdotal stories and case studies, pictures and any other information that gives insight into the success of the program should be included.

Final Report
The final performance report is due 90 days after the performance end date. The final report shall include an executive summary of the Recipient's accomplishments in achieving results and conclusions about areas in need of future assistance; an overall description of the Recipient's activities and attainment of results by country or region, as appropriate during the life of the Cooperative Agreement; an assessment of the progress made toward accomplishing the objective and expected results significance of these activities; important research findings, comments and recommendations, and a fiscal report that describes how the Recipient's funds were used. The report should also indicate the contextual opportunities remaining that could easily be harnessed to sustain the results of the program.

Activity Reporting:

The recipient will submit reports to the AOR as described below. The format for preparation of reports will be determined in collaboration with the AOR. Due dates noted below are in calendar days.

Baseline Report
The assessment should provide gender and geographic disaggregated statistics and also investigate specific gaps that exist between males and females, or different locations and populations with respect to the problem that is being addressed, and explain or indicate potential causes of those gaps and indicate what opportunities there are to address them.
The baseline survey must be conducted after the recipient has secured an approved Activity M&E Plan but within 6 months of agreement award.

Annual Work Plans
The recipient shall provide the first annual work plan within 75 days of award date; modified, as needed, work plans will be submitted no later than six (6) months after the award date. The plan will be reviewed and approved by the AOR within two weeks of submission. After submission of the first year work plan, the recipient shall submit subsequent annual work plans within one month prior to start of the activity year.

Annual work plans shall include a narrative describing the strategies, activities and interventions required to meet the award outputs as well as a log frame or Gantt chart outlining specific activities, the timetable and responsible persons. Activities on the Gantt Chart must be fully costed. Furthermore, annual budgets are expected to accompany the annual work plans. The workplan will include the projects annual gender and youth action plan informed by the gender and youth analysis.

Activity Monitoring and Evaluation Plan
Within 90 days of the signing of the award, the recipient shall work closely with the Mission contractor responsible for the collection and analysis of USAID data and submit a draft Activity Monitoring Plan for the life of the Activity that derives from the activities outlined in the program description.

This program will develop a monitoring, evaluation and learning plan that will meet both the Agency's necessary work planning and reporting requirements, including the appropriate collection of standard, annual indicators and progress reporting as well as propose and introduce a range of more progressive, monitoring and assessment tools and approaches which encourage development partners' practicing faster, adaptive implementation and should become of more practical value for program implementers.

The Activity Monitoring Plan is a living document. The recipient is expected to suggest and make revisions to the Activity Monitoring Plan in response to changing conditions and emerging lessons in consultation with the AOR.

The Activity Monitoring Plan will be reviewed and approved by the AOR. The AOR will request any modifications required within ten (10) days of submission of the final, proposed M&E system after the 90-day start-up period. The Recipient shall commence system implementation within ten (10) days following receipt of the AOR's system approval.

Geospatial Data Collection

As defined in the USAID Policy Framework (2011-2015), USAID is committed to geographically targeting aid investments, monitoring & evaluating overall aid effectiveness, and upholding the Agency's open data and transparency goals. Utilizing geographic information systems (GIS) technology, geographic data and analysis is integral to effectively achieving all of these objectives. Geospatial analysis is a top priority of the USAID/Uganda to be incorporated into the learning agenda and M&E work to build resilience. It is critical that the potential awardee prioritizes, budgets for and builds in geographic data reporting and tracking from the start.

In alignment with the US Government commitment to transparency and open data, as well as with USAID Data Policy (ADS 579), geographical data collected and the resulting maps produced as part of this program will be shared with the affected communities, District Local Governments, and the general public. All efforts will be made to protect Personally Identifiable Information (PII).

Project and Activity Location Data: Recording a discrete location for project and activity locations is essential in establishing an effective method of managing, analyzing, and communicating project and activity information. After signing of award, the recipient shall work closely with the USAID AOR to determine necessary information to collect, which may include:

- Type of activity (e.g. construction of infrastructure, WASH-related training, repaired of sanitation facilities, repair of safe drinking water infrastructure, repair of waste disposal facilities, etc)
- Estimated cost of activity
- Photograph of activity
- Location of activity
  - Point features (latitude, longitude) such as households with hand washing station, latrines, boreholes public institutions with hand washing facilities, etc.
  - Area features (polygon) such as boundaries of lagoons for fecal sludge treatment
- Location name of the village
- District name for activity location
- Facility type (home, school, health facilities, etc.)

Geographic Data must be projected to the Geographic Coordinate System World Geodetic System 1984 (GCS WGS 1984). All data must use the World Geodetic System 1984 (WGS 1984) datum.

The location and activity specific data will be recorded and managed by the awardee. It will be submitted to the USAID Mission AOR and GIS Specialist in any of the following formats: .CSV file, MS Excel spreadsheet, MS Access database, or GIS-ready shapefile (.shp)/geodatabase.

<u>Close-Out Plan</u>
The Recipient will develop and implement an AO approved closeout plan (administration, information, grants, finance, procurement and management). The closeout plan will be submitted to the AO six months prior to the award end date. The plan should include but not be limited to:

- Dates for final delivery of all goods and services for grants;
- A property disposition plan for the Recipient, sub-recipients where applicable in accordance with government regulations reviewed by the AOR and approved by the Agreement Officer;
- Review of award and/or grant files for audit purposes and final billing to USAID;
- A schedule to address office leases, bank accounts, utilities, cell phones, personnel notification, health insurance, outstanding travel, social payments, household shipments, severance for local staff (if appropriate), vehicle leases/disposition, phone subscriptions;
- Receipt of all final invoices and grant performance reports;
- Report use of funds not required for the completion of the award;
- Report on compliance with all local labor laws, tax clearances, etc.

<u>Branding & Marking:</u>

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful Applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.3, 22 CFR 700.16 and the references therein. Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.

<u>Environmental Compliance</u>

<u>Note:</u> *A Negative with Conditions Determination indicates that one or more of the project activities has no known impacts, but require specific measures to mitigate any potential threat to the environment.*

1a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID includes environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 211.3.2.b and 204 (http://www.usaid.gov/policy/ads/200/), which in part require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Cooperative Agreement.

1b) In addition, the Awardee must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1c) No activity funded under this cooperative agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in an Initial Environmental Examination (IEE) or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). Hereinafter, such documents are described as "approved Regulation 216 environmental documentation."

2) An Initial Environmental Examination (IEE) Uganda_FY08_SO8_IIP_IEE_092408.doc has been approved for DO3: Investing in People which include USAID funding for this Cooperative Agreement – Uganda Sanitation Program. The IEE covers activities expected to be implemented under this cooperative agreement. USAID has determined that a **NEGATIVE WITH CONDITIONS DETERMINATION** applies to the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this solicitation.

3a) As part of its initial work plan, and all annual performance reports (including annual work plans) thereafter, the Awardee in collaboration with the USAID Agreement Officer's Representative and Mission Environmental Officer or Bureau Environmental Officer as appropriate, shall review all on-going and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

3c) If Awardee plans any new activities outside the scope of the approved Regulation 216 environmental documentation; it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

3d) Any on-going activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is written and approved by USAID.

6a) A provision for sub-grants is included under this NFO requiring Awardee to use the Environmental Review Form (ERF) or Environmental Review (ER) checklist to screen grant proposals to ensure that the funded proposals will result in no adverse environmental impact, to develop necessary mitigation measures and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not known well enough, to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed by the recipient and approved by USAID.

The recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented and addressed in annual reports. Guidance on the ERF and ER checklist process is available at http://www.encapafrica.org/meoEntry.h tm.

[END OF SECTION F]

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

1. Nancy Kleinhans
   Agreement Officer
   USAID/Uganda
   US Embassy Compound
   Plot 1577 Ggaba Road
   Kampala, Uganda

2. Alimo Florence
   Acquisition & Assistance Specialist
   USAID/Uganda
   US Embassy Compound
   Plot 1577 Ggaba Road
   Kampala, Uganda

   Generic Email: KampalaUSAIDSolicita@usaid.gov

[END OF SECTION G]

SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted.

USAID/Uganda has developed a guidance document to assist implementing partners (IPs) and its subawardees/grantees in assessing risk towards implementation of a planned or current activity. Applicants are encouraged, though not required, to review the document Attachment J and to the extent possible, utilize the information to ensure the safety and security of staff, employees, facilities, records, subawardees, and all recipients. To the extent that costs associated with mitigating the risk environment are identified, approval for these costs must be agreed to by the Agreement Officer.

List of Reference Documents/Attachments

Attachment	Title
Attachment A	USAID Gender Policy
Attachment B	USAID Uganda Country Development and Cooperation Strategy (CDCS)
Attachment C	USAID Youth Development Policy
Attachment D	Budget Format
Attachment E	Allowable USG Funding Support for GOU Entities and Staff
Attachment F	GoU Improved Sanitation and Hygiene (ISH) Strategy
Attachment G	GoU Improved Sanitation and Hygiene Promotion Financing Strategy
Attachment H	Global Sanitation Fund Country Program Proposal
Attachment I	Global Sanitation Fund Progress to Date
Attachment J	Risk Assessment
Attachment K	Status of Water, Sanitation and Hygiene in Uganda
Attachment L	Institutional Framework for National and District Policy, Planning and Monitoring of WASH in Uganda
Attachment M	Financing for Water, Sanitation and Hygiene in Uganda